

State of Tennessee LWDA Assessment

Sprint 5 – Upper Cumberland

April 8, 2019–April 19, 2019

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Executive summary

Summary of observations

Outlined below are the key and consistent themes arising from our interviews with stakeholders and review of documentation

- ▶ The UCLWDA Strategic goals are in line with leading practices recommended to other areas. There are some opportunities to further enable the achievement of strategic outcomes.
- ▶ The UCLWDB has decided to create a new 501(c)(3) organization to serve as Board Staff and Fiscal Agent. This decision was driven based on the following concerns.
 - ▶ Ineffective communication between Board Staff and Fiscal Agent
 - ▶ Unclear lines of communication between the Executive Director and the Board
 - ▶ Transparency and timeliness of financial reporting
- ▶ The UCLWDA has strong performance management processes in place with some opportunities for minor enhancements.
- ▶ The UCLWDA has a well-established internal control environment. Policies and procedures are documented for key processes including competitive procurement, monitoring and fiscal activities. The policies are easily accessible and understood.
- ▶ Compared to other LWDAs, the UCLWDA has demonstrated the following internal control leading practices.
 - ▶ The UCLWDA monitoring programs and practices are in line with leading practices recommended to other areas, although there is a gap in coordination between the Board Staff and Fiscal Agent on shared monitoring responsibilities.
 - ▶ UCLWDB has a robust process in place for managing service providers, including an onboarding process, and a formal monitoring program.
- ▶ Similar to other LWDAs, the UCLWDA faces technology limitations that lead to process inefficiencies. However, the UCLWDA is taking advantage of innovative new technologies to obtain reporting insights over AJC customer activity.
- ▶ There are opportunities to enhance CSP case note quality by providing targeted training and to refresh the firewall provision to key stakeholders for greater understanding.

Assessment approach

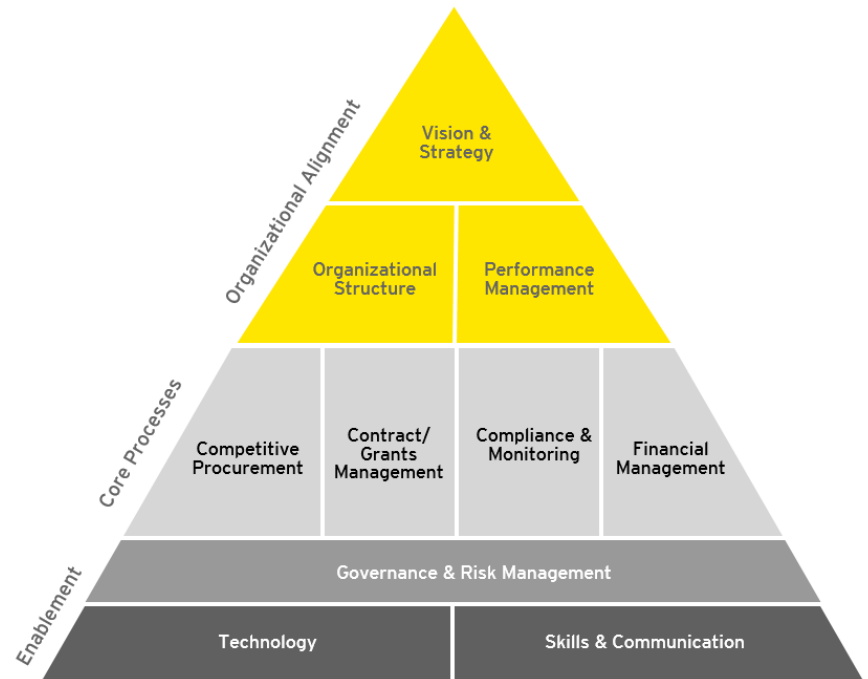
Our framework

EY assessed the organizational fitness and operational controls of the UCLWDA by using a holistic framework that focused on strategic elements of an organization.

Assessment methodology



Strategic elements of an organization



Organizational alignment

Vision and strategy

ETLWDA strategy

The UCLWDA Strategic goals are in line with leading practices recommended to other areas.

Focus area	Key observation
Strategic vision	There was input and coordination among the Executive Director, Regional Director, Board Executive Committee and Partners in developing the Local Strategic Plan. The Executive Director mentioned that the Board was very actively involved in the development of the plan. There were multiple discussions and opportunities to verify that the Board's and others' feedback was incorporated.
Roadmap to achieve strategic outcomes	The Local Plan includes key strategic areas and detailed implementation strategies. The Board Chair emphasized that he considers the strategic plan as a document to be integrated into the day-to-day functions, not as a formality that is never revisited once complete. The Board Chair emphasized that going forward, he would like to receive monthly updates during Board meetings on actionable steps taken that are in alignment with achieving goals outlined in the Plan.
Marketing and branding	<p>The Board Chair noted that the LWDA is currently facing an issue with branding. Many of the AJCs still have "UCHRA" (Upper Cumberland Human Resource Agency, their prior fiscal agent and administrative entity) listed on their building, which the Board Chair believes is harming their reputation and ability to get participants in the door. They are currently working with landlords (or in some cases, moving buildings altogether due to space constraints) to resolve this.</p> <p>To date, the majority of advertising has occurred anecdotally. The LWDA currently has a Twitter, and the Executive Director noted that they do not have a Facebook page yet but plan to set one up. In the future, the LWDB plans to further utilize social media to increase awareness focusing on the youth population and partnering with the economic development team in the area.</p>

Recommendations

- ▶ The UCLWDA's plans are in line with leading practices recommended to other areas. To further enable the achievement of strategic outcomes, the UCLWDA should:
 - ▶ Develop and document a road map that includes detailed plans for future initiatives with key milestones and be updated as needed with input from key stakeholders.
 - ▶ Implement plans to track progress against the strategic plan. The monthly updates the Board Chair plans to implement could be incorporated into this tracking.
 - ▶ Develop a social media outreach communication plan to include targeted audiences to further market AJC services to the local population and business community.

Organizational alignment

Organizational structure

Roles and responsibilities

Opportunities exist to clarify roles, responsibilities and accountability, particularly between the OSO, Title 3 Site Leads and Regional Director.

	Focus area	Key observation
	Fiscal Agent	Based on interviews, the LWDB considers the role of WIOA Fiscal Agent as a role that requires more attention than it is currently receiving. The LWDB and CLEO have voted and approved the decision to insource the Fiscal Agent role to a single Board staff member (via transition to a 501(c)(3) entity), instead of outsourcing the fiscal responsibilities to a separate entity who is already responsible for managing several other grants (in addition to WIOA). The Board views the Fiscal Agent's split-time between the multiple grants as the main driver behind the WIOA grant not receiving the attention they would like.
	OSO and Title 3 Site Leads	Title 3 Site Leads report to the Regional Director, whose position is above the firewall on the organizational chart. According to interviewees, this may create the perception that that Title 3 partners have more leverage than other partners.
	Regional Director	The Executive Director and Regional Director appear to have a strong working relationship and open communication. The Executive Director views the role of Regional Director as a liaison between the Board and the State, and she believes that the Regional Director is performing it this way.
Recommendations		
	► Develop transition plan with detailed activities, tasks and documentation to enhance knowledge transfer of Fiscal Agent role responsibilities.	

Transition to 501(c)(3)

The UCLWDB has decided to create a new 501(c)(3) organization to serve as Board Staff and Fiscal Agent.

Focus area	Key observation
Ineffective communication between Board Staff and Fiscal Agent	Although they are both employed by the same entity (UCDD - Upper Cumberland Development District), the Fiscal Agent and the Board Staff are physically located in different offices. It was evident based on interviews that there is limited coordination or communication between the Fiscal Agent and Board staff. During interviews, the Fiscal Agent expressed that the Board Staff appear to already be operating independently (although not technically a 501(c)(3) yet).
Unclear lines of communication between the Executive Director and the Board	During interviews, the Executive Director mentioned confusion around whether she should be reporting directly to the Board or to UCDD. She noted that the 501(c)(3) incorporation will resolve this, as there will no longer be a separate entity acting as Fiscal Agent, and she will report directly to the Board.
Transition planning	Based on interviews with the Board staff, CLEO and Board Chair, the Upper Cumberland LWDB is confident that they are prepared for the transition. The individual staff person who will be assuming the role of Fiscal Agent has been attending trainings at the state, reviewing policies and procedures, and plans to sit down with the current Fiscal Agent for more detailed transition training (although this has not yet occurred). The current Fiscal Agent, UCDD, expressed concern regarding the cash flow requirements the Board may face once they have transitioned to a 501(c)(3). Due to the maturity of their business, and the number of programs they serve, the current Fiscal Agent said UCDD is able to front and float costs for the WIOA Program. The employee who will act as Fiscal Agent under the 501(c)(3) expressed having similar concerns, and has been in contact with the state regarding this. The state has reassured him that cash flow should not be a concern, and they will be able to provide what they need for a startup, which the new Fiscal Agent has calculated to be \$120,000.
Recommendations	
<ul style="list-style-type: none">▶ Continue to monitor cash flow through the transition to verify that the UCLWDA will continue to stay solvent and able to fully serve the community.▶ The new fiscal agent should work with fiscal agents from other regions to confirm proper training before taking on the role of fiscal agent full time at UCLWDA.	

Organizational alignment

Performance management

Performance management

The UCLWDA has strong performance management processes in place with some opportunities for minor enhancements.

Focus area	Key observation
Local area performance	According to the Board Chair, the Board stays very informed. The Executive Committee, a subset of the Board, meets at a minimum of once a month. The Board Chair mentioned that the Executive Committee is expected to communicate with the full Board who meets quarterly. Each Board meeting includes reports from the Executive Director, Program Monitor, Fiscal Agent and OSO. Board members are given the opportunity to ask questions, review invoices and receive monitoring reports to make informed decisions.
OSO dashboards	The OSO puts together a performance dashboard for every monthly LWDB Executive Committee meeting. The dashboards include customer visits by program, Title I enrollments and partner program updates. We reviewed the March dashboard and noted that the following data points are presented graphically: Title I enrollments (showing an increase from prior year) and AJC customer visits by program. The data used for AJC customer visits by program is collective of all AJCs and not separated by specific AJC location. Additionally, the data shows the cumulative total from July 1, 2018 to February 28, 2019, but does not show trends (increase, decrease or major spikes) over time.
Transparency and timeliness of financial reporting	<p>The Fiscal Agent provides monthly financial status reports to the LWDB Executive Committee. These reports include the total funds remaining for each program and the current MPCR.</p> <p>Interviewees (including the Board Chair) mentioned that the level of detail, transparency and timeliness of the fiscal reports provided is not satisfactory. Interviewees mentioned it would be helpful to receive a breakdown of individual program costs. The Board Chair mentioned that he does not feel sufficiently informed to make decisions such as proper re-allocation of funds. The UCLWDB has decided to create a new 501(c)(3) organization and appoint a new Fiscal Agent as a direct employee of the Board, which is expected to increase the transparency of fiscal standing.</p>
Recommendations	
<ul style="list-style-type: none">▶ There is an opportunity to further improve the value of the dashboard reports by redesigning the dashboards to align with strategic goals. The dashboard could be better aligned to specific KPIs so that the audience can see a clear picture of progress toward strategic goals.▶ During the transition to a new Fiscal Agent, we recommend that the Board set clear reporting expectations during the training and onboarding process.	

Governance and risk management

Internal controls

Policies and procedures

UCLWDA has adopted and customized policies and procedures.

Observation	Leading practice
<ul style="list-style-type: none">▶ The UCLWDB has documented Procurement, Individual Training Accounts, ETPL (Eligible Training Providers List), Supportive Services, Work-Based Training, and Interlocal and Partnership Agreements policies. All of these policies are included as attachments to the Local Plan. The Procurement Policy outlines that it must be a competitive bid, and that the RFP process must follow all federal, state and local competitive procurement requirements in this selection process. The policy also refers out to the UCLWDB's Conflict of Interest Policy, which outlines the governance of the actions of its employees engaged in the selection, award and administration of contracts.▶ Additionally, Upper Cumberland Workforce has a documented monitoring policy. This detailed policy outlines who is responsible for monitoring, how it is measured and how issues are resolved (via a corrective action plan).<ul style="list-style-type: none">▶ Per the monitoring policy, all UCLWDB policies are subject to internal monitoring, will be approved by the Board and reviewed annually for updates or areas of improvement for program effectiveness and efficiency.▶ Based on our interviews, policies and procedures are easily accessible and understood across the various stakeholders in the UCLWDB.	<ul style="list-style-type: none">▶ The organization has thoroughly documented key business policies and procedures, assisting with standardization across the organization, and allowing management to identify potential risks and inefficiencies. Documented policies and procedures also serve to mitigate risks associated with business continuity and succession planning.▶ Roles, activities and responsibilities are fully and mutually aligned across the extended organization. All employees are able to access relevant policies, procedures, working instructions and manuals through advanced electronic applications.
Recommendations	
<ul style="list-style-type: none">▶ The UCLWDA has customized policies and procedures specific to their region in line with leading practices we have recommended to other LWDA's.	

OSO and CSP procurement

The UCLWDA RFP process is in line with leading practices recommended to other areas. Despite efforts to promote full and open competition, only one proposal was received.

Observation	Leading practice
<ul style="list-style-type: none"> UCLWDB displayed the following leading practices in competitively procuring their OSO and CSP. <ul style="list-style-type: none"> Contracting a third party to handle some procurement activities (such as distributing the RFP, collecting responses and removing references to an entity's name so that responses remained anonymous to voter). A voting committee was established by the Board and was responsible for evaluating and scoring RFP responses individually. We also noted the following opportunities for improvement with respect to UCLWDB's procurement practices. <ul style="list-style-type: none"> Despite the RFP being widely distributed, only one proposal was submitted (by MCHRA (Mid Cumberland Human Resource Agency), who was the previous service provider), thus limiting the level of competition. This is unusual compared to other LWDA's, who received at least two proposals. There is no documented process dictating how voting committee members are appointed. The voting committee was made up of only two members. 	<ul style="list-style-type: none"> The RFP Evaluation Committee should be made up of individuals with various area of knowledge (i.e., financial, procurement, career services). Based on subject-matter knowledge or functional area, it may be appropriate for each evaluation committee member to be assigned only a specific section of the proposal to review and score. Smaller organizations may choose to outsource the RFP process if they determine that their time will be more impactful spent elsewhere. Outsourcing the RFP process can reduce workload and operational costs. RFP evaluation criteria is clearly defined and documented, increasing consistency in scoring across judges and setting clear expectations for scorers. Scoring is blind (process by which evaluators rate the responses without specific knowledge of which entity is tied to which answer) reducing the risk of bias in the RFP process. Distinct weightings are used. This method allows each criterion to be measured on the same scale. Each criterion also has a weight by which the score is multiplied to give it a total weighted score. This makes scoring easy and verifies that the most important criteria are given greater consideration. Technology is incorporated into the RFP scoring process.
Recommendations	
<ul style="list-style-type: none"> Leading practices suggests that an RFP evaluation committee be made up of at least three to six members with the appropriate knowledge to conduct such proposal evaluations. UCLWDA should update their procurement policy to include leading practices for RFP evaluation committees. This should include: <ul style="list-style-type: none"> Minimum requirements of knowledge represented within the evaluation committee and process for appointing and selecting members (requirements of knowledge may vary, depending on the service being procured). If required knowledge is not available, consider outsourcing the RFP evaluation process. When the current OSO and CSP contracts expire, we recommend that the UCLWDA consider the lack of competitive bids as a factor in their decision to extend the contracts or re-procure the services. 	

Contract management

UCLWDB has a robust process in place for managing service providers, including an onboarding process and a formal monitoring program.

Observation	Leading practice
<ul style="list-style-type: none">▶ The UCLWDB monitoring policy includes a section called “Start-Up Monitoring,” which describes the process to familiarize contractor staff with the contract provisions as well as UCLWDB policies and procedures. It is an opportunity for the monitor to become familiar with the service provider’s operations and allow for early identification of potential problem areas.▶ Per the UCLWDB Monitoring Plan, formal monitoring over the OSO/CSP occurs monthly. Additionally, the Program Monitor performs both announced and unannounced AJC site visits.▶ Tools and templates (including monitoring checklists) have been developed for AJC site visits and desk reviews.▶ The monitoring results are documented in a formal report and sent to the service provider within 30 days of the review. These reports may also be distributed to the CLEO and Board.	<ul style="list-style-type: none">▶ Service-level agreements (SLAs) are in place for all outsourcing contracts. SLAs include specific, measurable key performance indicators that can be clearly monitored and reported against. The SLA should describe the mechanism for escalating and resolving issues related to the delivery of services. The contract owner should be the main author of the SLA as they set the expectations for service delivery and quality that they require.▶ There is a formal process in place to monitor contract performance and compliance to drive quality delivery and identify areas where the providers are not performing to expectations. Service provider performance is reported and reviewed collaboratively with the service provider.▶ Customer satisfaction surveys are integrated (where appropriate) into the contract performance metrics.
Recommendations	
<ul style="list-style-type: none">▶ The UCLWDA exhibits leading practices in this area that should be followed by all other regions.	

Formal monitoring program

The UCLWDA monitoring programs and practices are in line with leading practices recommended to other areas.

Observation	Leading practice
<ul style="list-style-type: none">▶ Upper Cumberland LWDB has a documented monitoring policy that outlines their procedures followed in carrying out local oversight and monitoring of all WIOA-funded programs and delivery of integrated services.▶ Financial monitoring is a shared responsibility between the Fiscal Agent and the program monitor. Currently, support for expenses either resides in VOS or is held physically. When the program monitor is performing their reviews, it is difficult to obtain support for physical documentation that is residing with the fiscal agent.▶ The Fiscal Agent performs independent sub-recipient monitoring over service provider costs by selecting a sample from every program based on how much they are spending annually. The Fiscal Agent relies on the sub-recipient monitoring and does not require that the service provider include every piece of documentation when submitting invoices.<ul style="list-style-type: none">▶ The Upper Cumberland Board recognizes the need to be efficient and timely in reviewing invoices, but does not agree with this approach and worries that disallowed costs may be going undetected.	<ul style="list-style-type: none">▶ Monitoring policies are updated and customized to reflect the specific needs of the area. Policies include detail over specific monitoring activities (who is being monitored), monitoring criteria (what is being monitored), and the monitoring schedule (when does monitoring occur). Monitoring is performed in line with documented policy.▶ Documented escalation and resolution policies and procedures exist when service providers do not meet defined KPIs. Escalation protocols vary based on the risk of the performance indicator that is not being met.
Recommendations	
<ul style="list-style-type: none">▶ A leading practice is to digitize all documentation supporting expenses and UCLWDA should consider adopting this practice going forward.▶ The Board has recommended that all receipts are reviewed to confirm that disallowed expenses are not being paid. UCLWDA should consider automating this process to make it run as efficiently as possible.	

Enablement Technology

Technology

The UCLWDA faces technology limitations that lead to process inefficiencies.

Focus area	Key observation
VOS limitations	<p>Reporting</p> <p>The OSO Manager uses VOS to prepare performance dashboards for the LWDB meetings, but noted the following limitations in the system's reporting capabilities:</p> <ul style="list-style-type: none">▶ The volume of reports in the system makes it difficult to find a single report that contains the relevant data or desired view, requiring endusers to manipulate data and components from several reports to manually develop custom reports and dashboards.▶ The system does not have the capability to pull month-to-month reports. In order to analyze data over time, endusers run a separate report for each month. <p>Case notes</p> <p>Case notes are recorded in VOS by career services staff using an open textbox. Although VOS has the functionality for users to create and use templates for case noting, this is not widely used due to fear that the templates may lead to standard, repeated responses instead of customized case notes specific to the individual.</p>
Innovation	<p>Upper Cumberland LWDB has started to utilize a Google service called My Business. By registering the Cookeville AJC as a Google business, the LWDB can maintain a current online profile for the AJC (address, hours of operation, contact info, etc.) so customers can easily search for information online. This service also provides reporting insights by tracking customer activity (website visits, Google searches, requested directions, phone calls, etc.) and allowing customers to leave reviews.</p>
Recommendations	
<ul style="list-style-type: none">▶ Consider the development and implementation of repeatable data analysis programs that can automatically extract, organize and present data.▶ Consider the feasibility of implementing a reporting tool that utilizes VOS data. We recommend a reporting tool that has an automated data collection feature.▶ We recommend that that State solicit feedback from VOS endusers to understand necessary changes or improvements prior to rolling out an upgrade.▶ We recommend that UCLWDB continue the use of the Google My Business tool at the Cookeville AJC and register the remaining AJCs in the tool as well.	

Enablement

Skills and communication

Skills and communication

There are opportunities to enhance CSP case note quality by providing targeted training and to refresh the firewall provision to key stakeholders for greater understanding.

Focus area	Key observation
Training	<p>The CSP Manager has documented a training manual for the career services staff which she updates every time a policy or procedure changes. The CSP Manager has also documented a step-by-step VOS user guide, but mentioned that it became outdated once the VOS system was upgraded.</p> <p>Other interviewees mentioned that the State provides ample training opportunities, but these trainings are not always targeted or advertised to specific experience levels or roles. For example, the OSO Manager and career services staff may benefit from different levels of detail around the same training topic.</p>
Case notes	<p>The CSP Manager performs internal monitoring over case notes and also receives monitoring reports from the Board staff. When improvements are needed in case note quality or overall case management, career services staff are required to re-watch case notes training and receive one-on-one coaching from the CSP Manager to correct the issue. Based on interviews, the biggest issue with case note quality is the level of detail included. The OSO and CSP Manager mentioned that there is a strong focus on improving the detail of case notes and pushing case managers to document their case notes immediately and not wait until multiple cases pile up. The caseload per staff is also monitored by the OSO, and when it becomes too large, the OSO reviews the staffing plan at that AJC.</p>
Guidance from state	<p>Some interviewees mentioned that when state-wide initiatives are communicated, they are not always accompanied with appropriate guidance or recommendations. For example, the state held a webinar to communicate an emphasis on increasing Wagner-Peyser enrollment, without providing recommendations on ways to trigger enrollment or which populations to target.</p>
Firewall	<p>Interviewees expressed an understanding of the “firewall” concept and acknowledged its purpose. Currently, the entire Board Staff (apart from the Fiscal Agent) are physically located at the Cookeville AJC and share office space with the OSO Manager and CSP Manager. This setup creates the appearance of noncompliance and is more likely to present stakeholders with situations that violate the firewall. The Board Staff is planning to move to a new office, which may alleviate confusion.</p>
Recommendations	
<ul style="list-style-type: none">▶ Consider providing targeted training to CSPs on case note quality to highlight the level of detail required for each case.▶ Develop a communication that includes practical examples of firewall allowed and disallowed communication topics for UCLWDA to better understand the appearance of conflict of interest provision.	

Appendices

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/central office	Regional director	CLEO/LEOs	LWDB	LWDB executive committee	Fiscal agent	Board staff/ executive director	3rd party procurement service provider
Vendor due diligence*	Define procurement policies	I	I	I	A	C	R	R	
	Define procurement processes, tools and templates		I	I	A	C	R	R	
	Perform sourcing risk management		I	I	A	C	C	R	
	Action procurement policy noncompliance		I	I	A	C	C	R	
Vendor selection*	Prepare and conduct market assessment		I	I	I	I		R	
	Develop RFP to include KPIs and targets	I	I	I	A/R	C	C	A/R	
	Review and approve RFP		I	I	A	C	I	A/R	
	Distribute RFP	I	I	I	A	I	I	A/R	
	Prepare and conduct sourcing and bid event		I	I	A	I	I	A/R	
	Evaluate RFPs		I	I	A	C	C	A/R	
	Select vendor	I	I	I	A	C	I	C	

*Refers to competitive RFP process

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/ central office	Regional director	CLEO/LEOs	LWDB	LWDB executive committee	Fiscal agent	Executive director/staff to the board	OSO	Career service provider
Contract and grant management	Contract creation and authorization		I	I	A	C	C	A/R		
	Contract execution	C	C	I	A	C	R	R	R	R
	Contract monitoring	C	I	I	A	I	R	R	C	C
	Contract compliance	C	I	I	A/C	C		R	C/R	C/R
Operational compliance and monitoring	Determine operational key performance indicators (KPIs)*	C	I	I	A/C	C		A/R	C	C
	Monitor and track performance against operational KPIs*	C	I	I	A/C	C		A/R	A/R	A/R
	Execute performance reviews				A	C		A/R	I	I
	Report scorecards and performance results	A/R	I	I	I	I	I	A/R	I/C	I/C
Regulatory compliance and monitoring	Develop LWDA Strategic Plan	C	C	A	A/R	C	C	A/R	I	I
	Communicate regulatory requirements and policy changes	A/R	I	I	I	I	I	R	R	R
	Monitor and track performance against negotiated performance measures	A/R	I	I	A	C	R	R	R	R
	Monitor and track performance against fiscal requirements	A/R	I	I	A	C	A/R	A/R	R	R
	Execute performance reviews	A/R	C/I	I	C	I	I	A/R		
	Report scorecards and performance results	A/R	I	I	I	I	I	R	R	R
	Identify and correct noncompliance	A/R	I	I	C/I	C	C	R	R	R

*Refers to operational requirements

R – Responsible, A – Accountable, C – Consulted, I – Informed

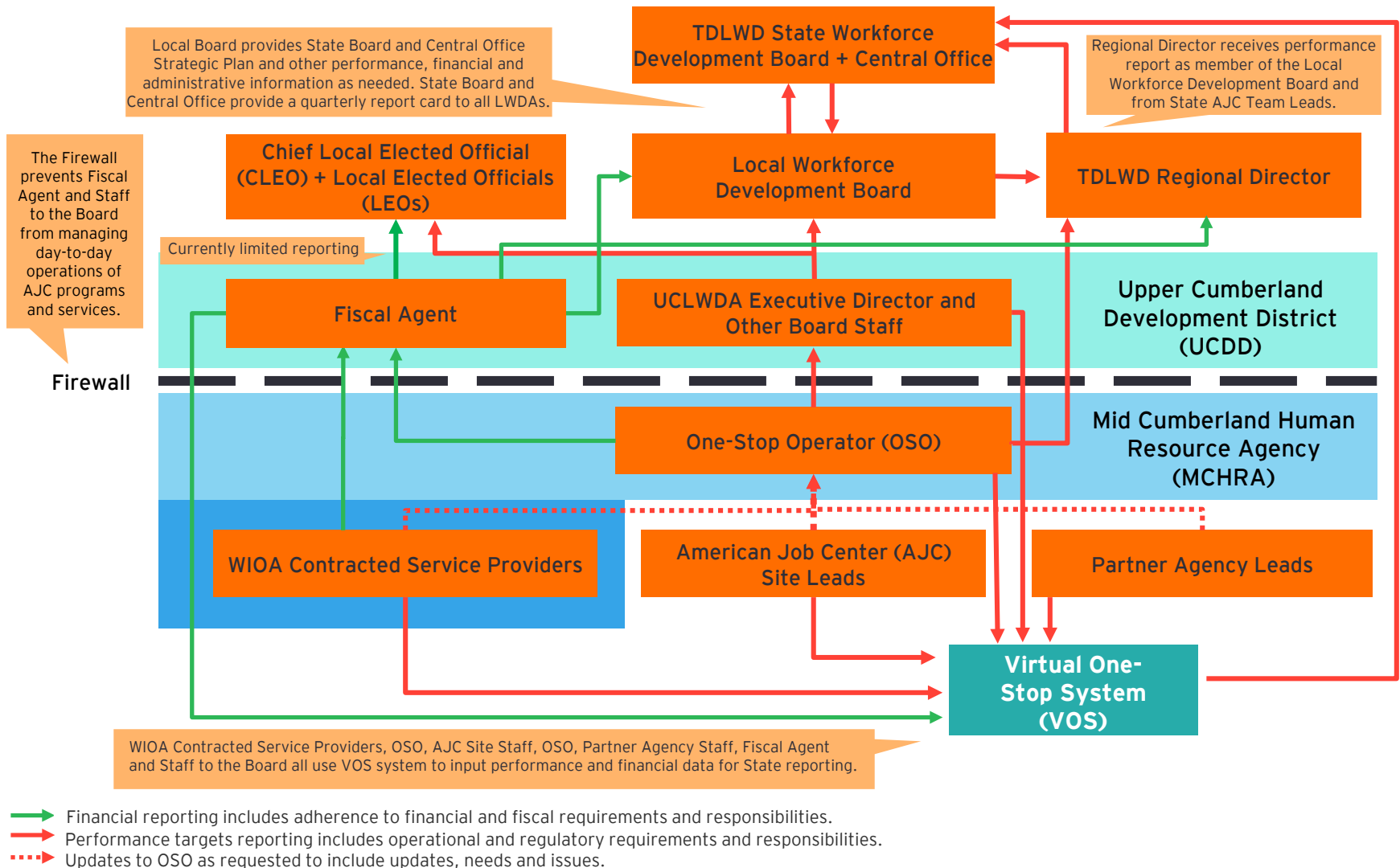
Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/central office	Regional director	CLEO/ LEOs	LWDB	LWDB executive committee	Fiscal agent	Board staff/ executive director	OSO	Career service provider	Other
Financial Management	Develop LWDA Budget	I	I	C/I	A/R	C	R	R			
	Approve LWDA Budget	I	I	C/I	A/R	C	R	R			
	Develop IFA	C	I	C/I	A/R	C	A/R	A/R	R	R	R*
	Approve IFA	A	I	C/I	A/R	C	A/R	C	R	R	R*
	Prepare expenditure reports						A/R	C	C	C	C
	Review and approve expenditure reports	A/R	I	I	I	I	A/R	C	C	C	C
	Review OSO and CSP invoices		I	I	A	I	A/R	A/R	C	C	
	Pay OSO and CSP invoices and expenses		I	I	A	I	A/R	A	C	C	
	Pay operating expenses		I	I	A	I	A/R	A			
	Submit reimbursement claims						A/R	A			
	Monitor expenditures						A/R	A			

*AJC Partners

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix B: Current ETLWDA organizational structure



Appendix C: Technology landscape

System	Purpose	Users	Key usage areas			Risks and observations
			Financial Management	Performance and Contract Management	One-Stop Job Center Operations	
Jobs4TN/VOS	Collect and maintain participant profile data. Used to record case notes on participant activities and document supporting evidence of eligibility and participant payments. Data is used to perform analysis for trends and performance monitoring.	AJC Staff, TDLWD, OSO, and participants		X	X	The system has been described as not user friendly by many end-users. The reporting capabilities of the system make gathering and analyzing data an inefficient process.
Grants4TN	Used to submit monthly expense reports and status reports to the State. Also used to request “draw down” of WIOA funds from the State.	Fiscal Agent	X	X		Data between Jobs4TN and Grants4TN must be manually reconciled as the systems do not interface.
Google My Business	This service provides reporting insights by tracking customer activity (website visits, Google searches, requested directions, phone calls, etc.) and allowing customers to leave reviews.	Board Staff		X		To date, only one AJC has been registered as a business using this service. The profiles need to be kept up to date to be utilized effectively.
Social Media Platforms	Used to promote branding and awareness of the AJCs in the UCLWDA in an effort to increase enrollment.	Board Staff		X		A social media policy should be in place to outline how the organization and its employees should conduct themselves online. Users of the social media platforms should receive appropriate training.

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1907-3210509
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